## In the United States Patent and Trademark Office

Serial No.: 10/550,855 § Filing Date: §

ONTINE FORMATION OF THIN SEMICON-§ Examiner: § DUNTOR LAYERS BY LOW-ENERGY

§ PLASMA ENHANCED CHEMICAL VAPOR Art Unit: 1734 § SEPOSITION AND SEMICONDUCTOR

HETEROSTRUCTURE DEVICES §

§ Applicant: VON KAENEL, Hans Atty docket No: PUS-E005-013

## INFORMATION DISCLOSURE STATEMENT

To: U.S. Patent and Trademark Office

> **Customer Service Window** Commissioner for Patents Randolph Building 401 Dulany Street Alexandria, VA 22314

**USA** 

Dear Sir.

Pursuant to the provisions of 37 C.F.R. §1.97, Applicant encloses the references set forth in the attached modified form PTO/SB/O8A. No inference should be made that the cited references are in fact material, are in fact prior art, are analogous art, or that no better art exists. The cited patents are listed in numerical order and not in any order based on their pertinence.

It is requested that the Examiner fully consider the cited references and that they be cited on the front of any patent issuing from this application.

An early action on the merits is respectfully requested.

If the Examiner has further questions, he is invited to contact the undersigned at phone 011-4171 230 1000, fax at 011-4171 230 1001 or e-mail at sherman@patentinfo.net.

Respectfully submitted;

Sherman D. PERNIA U.S. Reg. No. 34,404

**Enclosures:** 

IDS form

copies

return postcard

PTO/SB/08A (07-05)

Approved for use through 07/31/2006. OMB 0651-033 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE collection of information unless it contains a valid OMB control number.

Substitute location 144000

Sheet 1

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Complete if Known				
Application Number	10/550,855			
Filing Date				
First Named Inventor	VON KAENEL, Hans			
Art Unit	1734			
Examiner Name				
Attorney Docket Number	PUS-E005-013			

			U. S. PATENT	DOCUMENTS	
Examiner Initials*	Cite No.1	Document Number  Number-Kind Code <sup>2 (f known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		<sup>US-</sup> 6,454,855	09/24/2002	VON KAENEL et al.	entire document
		<sup>US-</sup> 2002/0056414	05/16/2002	SHIM et al.	entire document
		<sup>US-</sup> 2002/0139996	10/03/2002	JAGANNATHAN	entire document
***		us-	-		
		US-			
		US-			•
	-	US-			
		US-			
	<u> </u>	US-			
	<u> </u>	US-			
		US-			
	<b>-</b>	US-	<u> </u>		

		FOREIC	SN PATENT DOCL	MENTS		
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document  Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>3</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages Or Relevant Figures Appear	Τ°
		EP 1 315 199	05/28/2003	VON KAENEL	entire document	
		WO/1998/058099	12/23/1998	VON KAENEL et al.	entire document	
		WO/2003/044839	05/30/2003	VON KAENEL	entire document	

Examiner	Date	
Signature	Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at <a href="https://www.uspto.gov">www.uspto.gov</a> or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English language Translation is attached.

Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Sheet

2

of 4

PTO/SB/08B (07-05)
Approved for use through 07/31/2006. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

PUS-E005-013

Substitute for form 1449/PTO		Compl te if Known	
Cabalitate for form 14431 10	Application Number	10/550,855	
<b>INFORMATION DISCLOSURE</b>	Filing Date		
STATEMENT BY APPLICANT	First Named Inventor	VON KAENEL, Hans	
	Art Unit	1734	
(Use as many sheets as necessary)	Examiner Name	<u> </u>	

Attorney Docket Number

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	1	KASPER et al., New virtual substrate concept for vertical MOS transistors, Thin Solid Films, Vol. 336, p. 319-22 (1998)	
	2	BAUER et al., Relaxed SiGe buffers with thicknesses below 0.1 um, Thin Solid Films, Vol. 369, p. 152-56 (2000)	:
	3	HACKBARTH et al., Alternatives to thick MBE-grown relaxed SiGe buffers, Thin Solid Films, Vol. 369, p. 148-51 (2000)	
	4	UENO et al., Low temperature buffer growth for modulation doped SiGe/Ge/SiGe heterostructures with high hole mobility, Thin Solid Films, Vol. 369, p. 320-23 (2000)	
	5	KUCHENBECKER et al., Thin SiGe buffer layer growth by in situ low energy hydrogen plasma preparation, Thin Solid Films, Vol. 389, p. 146-52 (2001)	
	6	FITZGERALD et al., Totally relaxed GeXSi1-X layers with low threading dislocation densities grown on Si substrates, Appl. Phys. Lett., Vol. 59, p. 811-13 (1991)	
	7	ISMAIL et al., Extremely high electron mobility in Si/SiGe modulation-doped heterostructures, Appl. Phys. Lett., Vol. 66, p. 1077-79 (1995)	
	8	LINDER et al., Reduction of dislocation density in mismatched SiGe/Si using a low-temperature Si buffer layer, Appl. Phys. Lett., Vol. 70, p. 3224-26 (1997)	
	9	LI et al., Relaxed Si0.7Ge0.3 layers grown on low-temperature Si buffers with low threading dislocation density, Appl. Phys. Lett., Vol. 71, p. 3132-34 (1997)	
	10	PENG et al., Relaxed Ge0.9Si0.1 alloy layers with low threading dislocation densities grown on low-temperature Si buffers, Appl. Phys. Lett., Vol. 72, p. 3160-62 (1998)	

Examiner	Date
Signature	Considered

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (07-05) Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

	te for form 1449/PTO			re required to respond to a collection of information unless it contains a valid OMB control number.  Complete if Known			
Substitute for form 1443/FTO				Application Number	10/550,855		
INF	ORMATION	DIS	CLOSURE	Filing Date			
STATEMENT BY APPLICANT			PPLICANT	First Named Inventor	VON KAENEL, Hans		
				Art Unit	1734		
	(Use as many she	ets as n	ecessary)	Examiner Name			
Sheet	3	of	4	Attorney Docket Number	PUS-E005-013		

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	11	ROSENBLAD et al., A plasma process for ultrafast deposition of SiGe graded buffer layers, Appl. Phys. Lett., Vol 76, p. 427-29 (2000)	
	12	VON KAENEL et al., Very high hole mobilities in modulation-doped Ge quantum wells grown by low-energy plasma enhanced chemical vapor deposition,	
		Appl. Phys. Lett., Vol. 80, p. 2922-24 (2002)	
	13	MUROTA et al., Low-Temperature Epitaxial Growth of Si/Si1-XGeX/Si Heterostructure by Chemical Vapor Deposition, Jpn. J. Appl. Phys., Vol. 33, p. 2290-99 (1994)	
	14	CHEN et al., Low-temperature buffer layer for growth of a low-dislocation-density SiGe layer on Si by molecular-beam epitaxy, J. Appl. Phys., Vol. 79, p. 1167-69 (1996)	
	15	WEITZ et al., Tilted magnetic field studies of spin- and valley-splittings in Si/Si1-XGeX heterostructures, Surf. Sci., Vol. 361/362, p. 542-46 (1996)	
	16	SCHUEGRAF et al., Handbook of thin-film deposition processes and techniques, Noyes Publications, New Jersey, US, p. 26-79 article by M.L. HAMMOND (1988)	
	17	MANTL et al., Strain relaxation of epitaxial SiGe layers on Si(100) improved by hydrogen implantation, Nucl. Instr. and Meth. in Phys. Res., Vol. B 147, p. 29-34 (1999)	
	18	HOLLAENDER et al., Enhanced strain relaxation of epitaxial SiGe layers on Si(100) after H+ ion implantation,	
		Nucl. Instr. and Meth. in Phys. Res., Vol. B 148, p. 200-05, (1999)	

Examiner	Date	
Signature	Considered	

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of his form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO:

Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

PTO/SB/08B (07-05) Approved for use through 07/31/2006. OMB 0651-0031 U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Pape no persons are required to respond to a collection of information unless it contains a valid OMB control number. Compl te if Known Substitute for form 1449/PTO Applicati n Number 10/550,855 Filing Date INFORMATION DISCLOSURE STATEMENT BY APPLICANT First Named Inventor VON KAENEL, Hans Art Unit 1734 (Use as many sheets as necessary) **Examiner Name** Attorney Docket Number Sheet 4 PUS-E005-013 of

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	19	HOLLAENDER et al., Strain relaxation of pseudomorphic Si1-XGeX/Si(100) heterostructures after hydrogen or helium ion implantation for virtual substrate fabrication,	
		Nucl. Instr. and Meth. in Phys. Res., Vol. B 175-177, p. 357-67 (2001)	
	20	HERZOG et al., Si/SiGe n-MODFETs on Thin SiGe Virtual Substrates Prepared by Means of He Implantation, IEEE Electron Device Letters, Vol. 23, p. 485-87 (2002)	
	21	LYUTOVICH et al., Thin SiGe buffers with high Ge content for n-MOSFETs, Materials Science and Engineering, Vol. B89, p. 341-45 (2002)	

Examiner	Date	
Signature	Considered	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.